

PRIVACY IMPACT ASSESSMENT

(Rev. 1/2020)

(All Previous Editions Obsolete)

Please submit your responses to your Liaison Privacy Official. *All entries must be Times New Roman, 12pt, and start on the next line.* http://intranet.epa.gov/privacy/pdf/lpo_roster.pdf. If you need further assistance, contact your LPO.

System Name: O365 / My Workplace	
Preparer: Lawrence Lee/Vince Ross	Office: OMS/OITO/ECSD
Date: 03/02/2020	Phone: (202) 566-1042
Reason for Submittal: New PIA ____ Revised PIA ____ Annual Review <u>X</u> Rescindment ____	
This system is in the following life cycle stage(s):	
Definition <input type="checkbox"/> Development/Acquisition <input type="checkbox"/> Implementation <input type="checkbox"/>	
Operation & Maintenance <input checked="" type="checkbox"/> Rescindment/Decommissioned <input type="checkbox"/>	
<p>Note: New and Existing Systems require a PIA annually, when there is a significant modification to the system or where privacy risk has increased to the system. For examples of significant modifications, see <u>OMB Circular A-130, Appendix 1, Section (c) (1) (a-f)</u>.</p> <p>The PIA must describe the risk associated with that action. For assistance in applying privacy risk see <u>OMB Circular No. A-123, Section VII (A) (pgs. 44-45)</u>.</p>	

Provide a general description/overview and purpose of the system:

EPA O365 / My Workplace is an Email and Collaboration Services (ECS) cloud-based Software-as-a-Service (SaaS) model built on the Microsoft Office 365 (O365) Federal Risk and Authorization Management Program (FedRAMP) approved platform.

O365 / My Workplace for EPA consists of O365, SharePoint Online (including Access Online, Project Online, Delve, and OneDrive for Business), Exchange Online (EXO), and Skype for Business (SFB). Exchange Online is an email service. SharePoint Online is a solution for creating sites to share documents and information. Skype for Business is a communication service that offers instant messaging, audio and video calling, online meetings, and web conferencing capabilities.

EPA O365 / My Workplace utilizes Microsoft Office 365 and SharePoint Online to deliver a cost effective, user-friendly, agency-wide collaboration solution. O365 / My Workplace enhances productivity by making it easier for the Agency's multi-disciplinary, geographically dispersed workforce stay better informed by

facilitating communication, coordination, collaboration and innovation, thus allowing EPA to deliver better on its mission of protecting human health and the environment.

Section 1.0 Authorities and Other Requirements

1.1 What specific legal authorities and/or Executive Order(s) permit and define the collection of information by the system in question?

5 U.S.C. 301, Departmental Regulations; 44 U.S.C. Chapter 35, the Paperwork Reduction Act; 40 U.S.C. 1401, the Clinger-Cohen Act; 44 U.S.C. 3541 et seq., Federal Information Security Modernization Act of 2014; OMB Circular A-130, Managing Information as a Strategic Resource; Executive Order 13571, "Streamlining Service Delivery and Improving Customer Service," April 11, 2011; Presidential Memorandum, "Security Authorization of Information Systems in Cloud Computing Environments," December 8, 2011; and Presidential Memorandum, "Building a 21st Century Digital Government," May 23, 2012

1.2 Has a system security plan been completed for the information system(s) supporting the system? Does the system have or will the system be issued an Authorization-to-Operate? When does the ATO expire?

Office 365 / My Workplace has a completed Enterprise System Security Plan (SSP) and is currently operating under an Enterprise Services ATO that expires July 12, 2020.

1.3 If the information is covered by the Paperwork Reduction Act (PRA), provide the OMB Control number and the agency number for the collection. If there are multiple forms, include a list in an appendix.

No ICR required.

1.4 Will the data be maintained or stored in a Cloud? If so, is the Cloud Service Provider (CSP) Fedramp approved? What type of service (PaaS, IaaS, SaaS, etc.) will the CSP provide?

EPA O365 / My Workplace data is physically stored in Microsoft's Global Foundation Services (cloud infrastructure) within continental US data centers and in O365 government cloud community-specific racks for O365. O365 is a SaaS FedRamp approved cloud platform provided by Microsoft.

Section 2.0 Characterization of the Information

The following questions are intended to define the scope of the information requested and/or collected, as well as reasons for its collection.

2.1 Identify the information the system collects, uses, disseminates, or

maintains (e.g., data elements, including name, address, DOB, SSN).

O365 contains employee names, username, work email address, work phone number, work address, title of EPA employee and contractor, and related organizational information required for system administration. Skype for Business provides a contact service that allows users to maintain contact information, including phone numbers and email addresses, which may include both work related and personal contact information. Also, some items may collect cookies, personal calendar, office numbers, or skill sets.

2.2 What are the sources of the information and how is the information collected for the system?

The O365 / My Workplace collects information about employees obtained from other Agency systems and information volunteered by individuals. Each EPA Region or Program Office has their own process and forms to request and provision user accounts authenticated by Active Directory (AD) and ADFS. AD promulgates updates across the EPA domain, which will be used to enable authentication to the O365 applications. This information is used to foster communication and enhance the ability of employees to locate individuals with relevant experience and skill sets.

EPA plans to use a feature of the system that consists of personalized profiles for each employee as an Agency directory to help connect subject matter experts to Agency projects. The profiles will include work-related information (office location, office phone number) as well as optional information voluntarily provided by the employee such as work experience and educational history or photographs.

2.3 Does the system use information from commercial sources or publicly available data? If so, explain why and how this information is used.

No, EPA O365 / My Workplace does NOT use information from commercial sources or publicly available data.

2.4 Discuss how accuracy of the data is ensured.

O365 / My Workplace contains a set of tools that promotes communication and collaboration. Due to the nature of the system and the anticipated broad use of these services across the EPA, it is the responsibility of each user to ensure accuracy of data at the time the data is created or used. System administrators ensure user information is accurate through user request form submitted by the users and through authentication with the Active Directory (AD) service and will not ensure accuracy of specific data created or entered by end users.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Discuss the privacy risks identified for the specific data elements and for each risk explain how it was mitigated. Specific risks may be inherent in the sources or methods of collection, or the quality or quantity of information included.

Privacy Risk:

There is a risk to the privacy of individuals for the use of O365 due to the nature of the services and the amount of PII that may be contained in the system by users. O365 / My Workplace is a subscription service offering a shared pool of computing resources that may include a several pieces of PII. The level of risk associated with the type of PII is dependent on the office or program use and the safeguards implemented to mitigate the risk. Information stored within Skype for Business Online includes name, email address, work phone, work address, and title of EPA employees and contractors. The use of SharePoint Online allows some PII such as personal phone number, home phone number to be entered and stored in the system and may include other personal information such as the employee personal contact information.

Mitigation:

O365 is a FedRAMP approved cloud service provider and regularly undergoes reviews to ensure that all security controls are in place and operating as intended. O365 is rated as FISMA moderate based upon the type and sensitivity of data and requires strict security and privacy controls to protect the confidentiality, integrity, and availability of the sensitive data contained in the system.

To help mitigate the privacy risks, EPA has some administrative, technical and physical controls in place. EPA O365 / My Workplace is only accessible via the EPA Network LAN or via VPN. Prior to granting users access to the EPA network, all users must agree to the EPA Rules of Behavior, as well as the EPA Warning Banner before accessing the system, which includes the consent to monitoring, and restrictions on data usage. EPA's user identity management processes include authentication with AD to control and manage access restrictions to authorized personnel on an official need-to-know basis. System administrators utilize user identification, passwords, least privileges, and audit logs to ensure appropriate permissions and access levels. The contract between EPA and O365 does not allow the service provider to review or audit EPA data, which minimizes privacy risks from the vendor source. All EPA employees and contractors must complete privacy, security and records management awareness training, as well as role-based training where applicable, on an annual basis.

The EPA requires employees and contractors, minus a few special exemptions, to use government issued personal identity verification (PIV) card to access O365. Also as part of the continuous monitoring program, continual auditing will occur on the system to identify and respond to potential impacts to PII information stored within the O365 environment, which will help the agency effectively maintain a good privacy and security posture for the system. The system security plan is reviewed annually to ensure adequacy of controls implemented to protect data.

Section 3.0 Access and Data Retention by the System

The following questions are intended to outline the access controls for the system and how long the system retains the information after the initial collection.

3.1 Do the systems have access control levels within the system to prevent authorized users from accessing information they don't have a need to know? If so, what control levels have been put in place? If no controls are in place why have they been omitted?

O365 / My Workplace user accounts are managed through EPA Infrastructure Active Directory (LDAP) authentication. Roles can be defined by the administrative user. Access can be revoked or edited by the site owner using Access Control List (ACL). Users authenticate through LDAP to gain access to O365 / My Workplace. Attempts at unauthorized access are captured and reported by the NetPro tool suite. Data in the system is also protected from unauthorized access and misuse through other administrative, technical and physical security measures. Technical security measures within EPA include restrictions on computer access to authorized individuals, required use of strong passwords that are frequently changed, use of encryption for certain data types and transfers, and regular review of security procedures and best practices to enhance security. Physical measures include restrictions on building access to authorized individuals, only, and by maintaining records in lockable offices and filing cabinets.

3.2 In what policy/procedure are the access controls identified in 3.1, documented?

Access to information is controlled through AD via Access Control List. Access can be revoked or edited by the site owner using these ACLs. The ACL groups determine the roles and what information can be accessed by which users.

3.3 Are there other components with assigned roles and responsibilities within the system?

No. There are no other components with assigned roles and responsibilities within O365 / My Workplace.

3.4 Who (internal and external parties) will have access to the data/information in the system? If contractors, are the appropriate Federal Acquisition Regulation (FAR) clauses included in the contract?

Both Government and contractor employees have access to the data/information in O365 / My Workplace. Only personnel with system administrator accounts (who are given a more thorough background investigation) can access the data. The appropriate FAR clauses, CFR 24.104 Contract clauses; 52.224-1 Privacy Act Notification; and 52.224-2 Privacy Act, have been incorporated into the contract and provide a foundation for the contractor's privacy data protection policies.

All users must be approved and must have proper multi-authentication credentials to be able to access the data in O365 / My Workplace.

3.5 Explain how long and for what reasons the information is retained. Does the system have an EPA Records Control Schedule? If so, provide the schedule number.

Email and instant messaging records are retained for EPA Senior Agency officials' permanently and kept for a temporary period of 7 years for all other personnel to support after-the-fact investigations and to meet regulatory and organizational information retention requirements. EISI

is only required for electronic systems. Office 365 is a software suite and not an individual system. (RLO indicated that this system do not require RCS number)

3.6 Privacy Impact Analysis: Related to Retention

Discuss the risks associated with the length of time data is retained. How were those risks mitigated? The schedule should align the stated purpose and mission of the system.

Privacy Risk:

There is a risk that O365 / My Workplace is not meeting the Federal guidelines and requirements for records retention by a government information system or that data is not securely stored.

Mitigation:

To mitigate this risk, O365 / My Workplace will work with the SaaS provider (O365) to develop a records retention plan that meets all applicable Federal guidelines, mandates and requirements and encrypt audit logs using a hash algorithm.

Section 4.0 Information Sharing

The following questions are intended to describe the scope of the system information sharing external to the Agency. External sharing encompasses sharing with other federal, state and local government, and third-party private sector entities.

4.1 Is information shared outside of EPA as part of the normal agency operations? If so, identify the organization(s), how the information is accessed and how it is to be used, and any agreements that apply.

Yes, O365 / My Workplace shares information outside of EPA, however, it only shares information with authorized external entities and partners of the EPA. These types of external partners include business partners, third party security assessors, or those who have express authority on behalf of the EPA. Information is shared and accessed through the EPA intranet for collaboration purposes, and for identifying the appropriate individuals for email, SharePoint site collaboration, and communication only.

4.2 Describe how the external sharing is compatible with the original purposes of the collection.

The original purpose of O365 / My Workplace is to be used by EPA employees, authorized contractors, and authorized external partners as a platform for communicating and sharing information.

4.3 How does the system review and approve information sharing agreements, MOUs, new uses of the information, new access to the

system by organizations within EPA and outside?

O365 / My Workplace currently does not have any MOUs or ISAs but there is an EPA developed a SharePoint Governance Plan.

4.4 Does the agreement place limitations on re-dissemination?

No, there is no limits on re-dissemination.

4.5 Privacy Impact Analysis: Related to Information Sharing

*Discuss the privacy risks associated with the sharing of information outside of the agency.
How were those risks mitigated?*

Privacy Risk:

There is a low risk in some privacy information such as phone number or name being used outside the agency, due to users recording or keeping shares information and/or emails with sensitive details. All O365 users sign a Rules of Behavior before access to the system and are expected only to share information needed for their job roles/function. The information is not specifically relevant or purposeful to the intent of the sharing, i.e. no PII other than name and phone number is shared. This information is only integral to participation in the meeting/communication/email.

Mitigation:

EPA has initiated certain measures to ensure PII and information on individuals and sensitive data is not shared outside the agency by using Data Loss Prevention (DLP), which when implemented can limit and provide accountability for any information that is shared externally.

Section 5.0 Auditing and Accountability

The following questions are intended to describe technical and policy-based safeguards and security measures.

5.1 How does the system ensure that the information is used as stated in Section 6.1?

EPA ensures that the practices stated in this PIA are followed by leveraging training, policies, rules of behavior, and auditing and accountability. EPA security specifications require auditing capabilities that log the activity of each user to reduce the possibility of misuse and inappropriate dissemination of information. All user actions are tracked via audit logs to identify audit information by user identification, network terminal identification, date, time, and data accessed. All EPA systems employ auditing measures and technical safeguards to prevent the misuse of data.

5.2 Describe what privacy training is provided to users either generally or specifically relevant to the system/collection.

The US EPA implements a Rules of Behaviour (ROB) for which all users must consent prior to being granted systems credentials for access. The system inherits the EPA implementation of User Information Security and Privacy Awareness Training (ISPAT) which is provided annually. In addition, all EPA personnel receive annual refresher cybersecurity training to educate them regarding the use and management of sensitive data.

5.3 Privacy Impact Analysis: Related to Auditing and Accountability

Privacy Risk:

There is a low risk that some O365 / My Workplace users may not complete required training on time according to the EPA's annual training policy.

Mitigation:

EPA's Privacy Awareness and Training Office will remove access to an individual if they do not complete the mandatory training required. This will disallow all users access to the application.

Section 6.0 Uses of the Information

The following questions require a clear description of the system's use of information.

6.1 Describe how and why the system uses the information.

O365 / My Workplace uses the data pulled from AD authentication to help improve information sharing and collaboration among colleagues and make it easier for EPA staff to locate the knowledge skills and abilities required for Agency projects and initiatives.

This information is used to foster communication and enhance the ability of employees to locate individuals with relevant experience and skill sets.

6.2 How is the system designed to retrieve information by the user? Will it be retrieved by personal identifier? Yes X No . If yes, what identifier(s) will be used. *(A personal identifier is a name, social security number or other identifying symbol assigned to an individual, i.e. any identifier unique to an individual. Or any identifier that can be linked or is linkable to an individual.*

When in O365, to access a private user's profile, they can retrieve information for that user by typing in the known name of the individual or email. Once that information comes up, it will provide a link to SharePoint and also details about that individual being in the information system, so that they can be contacted.

6.3 What type of evaluation has been conducted on the probable or potential effect of the privacy of individuals whose information is maintained in the system of records?

All access is maintained by EPA Enterprise Identity Access Management, which requires

access to EPA network or a specific invitation to a meeting (Skype). There are administrative and technical controls in place to protect privacy information, such as access control lists, PIV cards, and unique usernames and passwords. These are tested annually. The system will go through a 3PAO security assessment in June 2020 where the implementation of privacy controls will be assessed.

6.4 Privacy Impact Analysis: Related to the Uses of Information

Describe any types of controls that may be in place to ensure that information is handled in accordance with the uses described above.

Privacy Risk:

There is always a risk of misuse of information by both authorized and unauthorized users of O365 / My Workplace.

Mitigation:

Data is restricted based on business need by role-based access control, multifactor authentication, minimizing standing access to production data, and other controls. Access to customer data is also strictly logged, and both Microsoft and third parties perform regular audits (as well as sample audits) to attest that any access is appropriate.

***If no SORN is required, STOP HERE.**

The NPP will determine if a SORN is required. If so, additional sections will be required

Section 7.0 Notice

The following questions seek information about the system's notice to the individual about the information collected, the right to consent to uses of information, and the right to decline to provide information.

7.1 How does the system provide individuals notice prior to the collection of information? If notice is not provided, explain why not.

Any individual who wants to know whether this system of records contains a record about him or her, should make a written request to the Attn: Agency Privacy Officer, MC 2831T, 1200 Pennsylvania Ave., NW., Washington, D.C. 20460, privacy@epa.gov.

Yes. The O365 / My Workplace landing page has a Term of Use statement that the user must accept to continue.

7.2 What opportunities are available for individuals to consent to uses, decline to provide information, or opt out of the collection or sharing of their information?

Each user voluntarily provides minimum information and consents to Rules of Behavior before being granted access to EPA computer network and resources. Requesting access and using the services are voluntary; however, the employee information used is required to create and activate the user accounts to access these services. Not providing information prevents the user from accessing the EPA network and

computing resources as EPA employees' username and contact information is provided by EPA employees for the essential purpose of user access control and account management within the EPA domain to complete their job duties in the course of conducting official business. Initial profile information in O365 / My Workplace will be populated using EPA's existing directory information; however, users will have the ability to update and manage their profiles.

7.3 Privacy Impact Analysis: Related to Notice

Discuss how the notice provided corresponds to the purpose of the project and the stated uses. Discuss how the notice given for the initial collection is consistent with the stated use(s) of the information. Describe how the project has mitigated the risks associated with potentially insufficient notice and opportunity to decline or consent.

Privacy Risk:

A low risk exists for users of ignoring any warning banners or use notices. There also may not be enough detailed information to educate the user in those banners/warnings through a lack of policy guidance.

Mitigation:

Warning banners & Terms of Use are provided which states information is not considered private and is subject to sharing and monitoring. This information can be used for the Freedom of Information Act as well. This information is provided and for the system's intended purposes and is sufficient for O365 / My Workplace.

Section 8.0 Redress

The following questions seek information about processes in place for individuals to seek redress which may include access to records about themselves, ensuring the accuracy of the information collected about them, and/or filing complaints.

8.1 What are the procedures that allow individuals to access their information?

Individuals seeking access to information in this system of records about themselves are required to provide adequate identification (e.g., driver's license, military identification card, employee badge or identification card). Additional identity verification procedures may be required, as warranted. Requests must meet the requirements of EPA regulations that implement the Privacy Act of 1974, at 40 CFR part 16.

The EPA provides login credentials to register with the EPA and access their individual Office 365 / My Workplace profiles through the EPA Web Portal/Virtual Private Network. EPA personnel also may contact the EPA help desk.

8.2 What procedures are in place to allow the subject individual to correct inaccurate or erroneous information?

Requests for correction or amendment must identify the record to be changed and the corrective action sought. Complete EPA Privacy Act procedures are described in EPA's Privacy Act regulations at 40 CFR part 16.

Once individuals sign up for an account and are designated a password and user ID, they may validate their account. The EPA help desk may also assist in questions for any misinformation.

8.3 Privacy Impact Analysis: Related to Redress

Discuss what, if any, redress program the project provides beyond the access and correction afforded under the Privacy Act and FOIA.

Privacy Risk:

Little to no risk. O365 / My Workplace will leverage established EPA procedures for redress and follow SORN procedures.

Mitigation:

EPA will always provide access and amendment of O365 / My Workplace for individuals. EPA notifies individuals of the procedures for correcting their information in this PIA, Privacy Act Statement, through the EPA internal website (EPA personnel only) and through Microsoft and O365 administrators for any issues regarding redress.